

12-5-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR 1.53(b))	
Attorney Docket No. <u>42390P13092</u> (maximum 12 characters)	
First Named Inventor <u>Song-Hua Shi, et al.</u>	
Title: <u>GUIDED HEATING APPARATUS AND METHOD FOR USING THE SAME</u>	
Express Mail Label No. <u>EL431887578US</u>	

JC921 U.S. PTO  
11/14/01  
10/002893

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant Claims Small Entity Status. (37 CFR 1.27)
3.  Specification (Total Pages 20)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawings(s) (35 USC 113) (Total Sheets 7)
5.  Oath or Declaration (Total Pages 5)
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c.  Unsigned.
6.  Application Data Sheet. (37 CFR 1.76)
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies) or
    - ii.  paper
  - c.  Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & documents(s))  
10.  a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)  
 b. Power of Attorney  
11.  English Translation Document (if applicable)  
12.  a. Information Disclosure Statement (IDS)/PTO-1449  
 b. Copies of IDS Citations  
13.  Preliminary Amendment  
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)  
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)  
16.  Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.  
17.  Other: Copy of Postcard with Certificate of Mailing and contents shown therein.

**18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

Continuation       Divisional       Continuation-in-part (CIP)  
Of Prior Application No.: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_  
(which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**Applicant(s):** Also include a Preliminary Amendment to amend the specification to claim priority.

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_ (or a copy of which is attached).

**19. Correspondence Address**

Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME \_\_\_\_\_ Archana B. Vittal

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS \_\_\_\_\_ 12400 Wilshire Boulevard

Seventh Floor

CITY \_\_\_\_\_ Los Angeles STATE \_\_\_\_\_ California ZIP CODE \_\_\_\_\_ 90025-1026

Country \_\_\_\_\_ U.S.A. TELEPHONE \_\_\_\_\_ (408) 720-8300 FAX \_\_\_\_\_ (408) 720-9397

Name (PRINT/TYPE): \_\_\_\_\_ Archana B. Vittal Registration No.: 45,182

Signature: Archana B. Vittal Date: 11/14/2001

**FEE TRANSMITTAL FOR FY 2002**

**TOTAL AMOUNT OF PAYMENT (\$)** 830.00

**Complete if Known:**

Complete if known  
Application No. Unassigned  
Filing Date Herewith  
First Named Inventor Song-Hua Shi, et al.  
Group Art Unit Unassigned  
Examiner Name Unassigned  
Attorney Docket No. 42390P13092

**METHOD OF PAYMENT** (check one)

1. [ X ] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

**Deposit Account Number** 02-2666  
**Deposit Account Name** \_\_\_\_\_

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  Check  
 Money Order  
 Other

## **FEE CALCULATION**

**1. BASIC FILING FEE**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee		
Code	(\$)	Code (\$)	
101	740	201 370	Utility application filing fee
106	330	206 165	Design application filing fee
107	510	207 255	Plant filing fee
108	740	208 370	Reissue filing fee
114	160	214 80	Provisional application filing fee
SUBTOTAL (1)		\$	740.00

**2. EXTRA CLAIM FEES**

	<u>Extra Claims</u>	<u>below</u>	<u>Fee Paid</u>
Total Claims <u>25</u>	- 20** = <u>5</u>	X <u>18</u>	= <u>90.00</u>
Independent Claims <u>3</u>	- 3** = <u>0</u>	X <u>84</u>	= <u>0</u>
Multiple Dependent			=

**\*\*Or number previously paid, if greater: For Reissues, see below.**

Large Entity				Small Entity	
Fee	Fee	Fee	Fee	<u>Fee Description</u>	
Code	(\$)	Code	(\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2) \$ 90.00**

## **FEE CALCULATION (continued)**

### 3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
105	130	205	65
127	50	227	25
139	130	139	130
147	2,520	147	2,520
099	8,800	099	8,800
112	920*	112	920*
113	1,840*	113	1,840*
115	110	215	55
116	400	216	200
117	920	217	460
118	1,440	218	720
128	1,960	228	980
119	320	219	160
120	320	220	160
121	280	221	140
138	1,510	138	1,510
140	110	240	55
141	1,280	241	640
142	1,280	242	640
143	460	243	230
144	620	244	310
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
146	740	246	370
148	110	248	55
149	740	249	370
179	740	279	370
169	900	169	900
195	300	195	300
196	300	196	300
194	130	194	130
098	130	098	130
091	1,280	091	1,280
Other fee (specify) _____			
Other fee (specify) _____			
<b>SUBTOTAL (3) \$ 0</b>			

\*Reduced by Basic Filing Fee Paid

#### SUBMITTED BY:

Typed or Printed Name: Archana B. Vittal  
Signature: *Archana B. Vittal* Date: 11/14/2001  
Reg. Number: 45,182 Telephone Number: (408) 720-8300